

DOCKET NO.: UBC-0003

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Paul Keown et al.

Serial No.: 10/070,796

Filing Date: December 16, 2002

For: **DIAGNOSTIC AND THERAPEUTIC METHODS IN AUTOIMMUNE DISEASE**

Confirmation No.: 7651

Group Art Unit: Unknown

Examiner: Unknown

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DATE OF DEPOSIT: March 3, 2003

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TYPED NAME: Jeffrey J. Kang  
REGISTRATION NO.: 38,515

Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

INFORMATION DISCLOSURE STATEMENT

Pursuant to 37 CFR § 1.56 and in accordance with 37 CFR §§ 1.97-1.98, information relating to the above-identified application is hereby disclosed. Inclusion of information in this statement is not to be construed as an admission that this information is material as that term is defined in 37 CFR § 1.56(b).

- ☒ In accordance with § 1.97(b), since this Information Disclosure Statement is being filed either within three months of the filing date of the above-identified application, within three months of the date of entry into the national stage of the above identified application as set forth in § 1.491, before the mailing date of a first Office Action on the merits of the above-identified application, or before the mailing date of a first Office Action after the filing of request for continued examination under § 1.114, no additional fee is required.

☐ In accordance with § 1.129(a), this Information Disclosure Statement is being filed in connection with ☐ the first or ☐ second After Final Submission, therefore:

☐ Certification in Accordance with § 1.97(e) is attached; or

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☒ Copies of each of the references listed on the attached Form PTO-1449 are enclosed herewith.

☐ Copies of references listed on the attached Form PTO-1449 are enclosed herewith

EXCEPT THAT:

☐ In view of the voluminous nature of references [list as appropriate], and the likelihood that these references are available to the Examiner, copies are not enclosed herewith.

- ☐ In accordance with § 1.98(d), copies of the following references listed on the attached Form PTO-1449 are not enclosed herewith because they were previously cited by or submitted to the U.S. Patent and Trademark Office in patent application(s) for which a claim for priority under 35 U.S.C. § 120 have been made in the instant application:
- ☐ Copies of references [list as appropriate] listed on the attached Form PTO-1449 were previously cited by or submitted to the Patent and Trademark Office in prior application Serial No. , filed .
- ☐ If any of the foregoing publications are not available to the Examiner, Applicant will endeavor to supply copies at the Examiner's request.

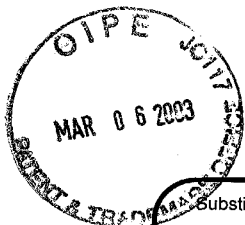
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English language abstracts have been included for those listed references which are not in the English language.

Date: March 3, 2003

  
Jeffrey M. King  
Registration No. 38,515

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Sheet **1** of **6**

### Complete if Known

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Examiner Name	Unknown
Attorney Docket Number	UBC-0003

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### U.S. PATENT DOCUMENTS

Examiner	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
	1	US-5,972,604		10-26-1999	SANTAMARIA <i>et al.</i>	
	2	US-5,965,787		10-12-1999	LUTHRA <i>et al.</i>	
	3	US-5,698,195		12-16-1997	LE <i>et al.</i>	
	4	US-5,645,994		07-08-1997	HUANG	
	5	US-5,627,264		05-06-1997	FODOR <i>et al.</i>	
	6	US-5,399,346		03-21-1995	ANDERSON <i>et al.</i>	
	7	US-5,166,320		11-24-1992	WU and WU	
	8	US-4,980,286		12-25-1990	MORGAN and MULLIGAN	
	9	US-4,868,116		09-19-1989	MORGAN and MULLIGAN	

### FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
	10	WO	97/38310	10-16-1997	SUCIU-FOCA		<input type="checkbox"/>
	11	WO	96/40989	12-19-1996	ALLIBERT <i>et al.</i>		<input type="checkbox"/>
	12	WO	95/05452	02-23-1995	BAETGE <i>et al.</i>		<input type="checkbox"/>
	13	WO (GB)	95/29235 (2288807)	11-02-1995	BELL <i>et al.</i>		<input type="checkbox"/>
	14	WO	92/07573	05-14-1992	RAFIELD <i>et al.</i>		<input type="checkbox"/>
	15	WO	89/07136	08-10-1989	WILSON and MULLIGAN		<input type="checkbox"/>
	16	WO	89/05345	06-15-1989	WILSON and MULLIGAN		<input type="checkbox"/>
	17	WO	89/02468	03-23-1989	MULLIGAN and WILSON		<input type="checkbox"/>
	18	EPO	0 896 999	02-17-1999	TOYOSAKI-MAEDA <i>et al.</i>		<input type="checkbox"/>

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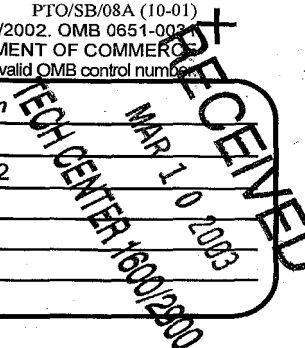
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Sheet **2** of **6**

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Application Number	10/070,796
Filing Date	December 16, 2002
First Named Inventor	KEOWN, Paul
Art Unit	Unknown
Examiner Name	Unknown
Attorney Docket Number	UBC-0003



### OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	19	ACSADI et al. (1991) Nature 352:815-818.	
	20	ANDERSON (2000) Science 288:627-9.	
	21	ARMENTANO et al. (1990) Proc. Natl. Acad. Sci. USA 87:6141-6145.	
	22	AUSUBEL FM. et al. (eds.) "Current Protocols in Molecular Biology" Greene Publishing Associates, Sections 9.10-9.14.	
	23	AWATA T. et al. (1994) Diabetologia 37:1159-1162.	
	24	BOEHM U. et al. (1997) Annu Rev Immunol 15:749-95.	
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	27	CAVAZZANA-CALVO et al. (2000) Science 288:669-72.	
	28	CERNA M. et al. (1995) Arch. Immunol. Ther. Exp. (Wasz) 43(2):139-144.	
	29	CHOWDHURY et al. (1991) Science 254:1802-1805.	
	30	CLAPP DW. et al. (1991) Blood 78: 1132-1139.	
	31	COMBE et al. (1995) Br. J. Rheumatol. 34: 529-534.	
	32	CRISTIANO et al. (1993) Proc. Natl. Acad. Sci. USA 90:2122-2126.	
	33	CURIEL et al. (1991) Proc. Natl. Acad. Sci. USA 88:8850-8854.	

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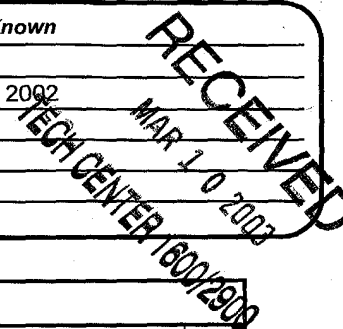
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Sheet 3 of 6

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First Named Inventor	KEOWN, Paul
Art Unit	Unknown
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**OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS**

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	34	DAI et al. (1992) Proc. Natl. Acad. Sci. USA 89:10892-10895.	
	35	DANOS and MULLIGAN (1988) Proc. Natl. Acad. Sci. USA 85:6460-6464.	
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	41	FERRY et al. (1991) Proc. Natl. Acad. Sci. USA 88:8377-8381.	
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	43	FLOTTE et al. (1992) Am. J. Respir. Cell. Mol. Biol. 7:349-356.	
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	45	GREGERSON et al. (1987) Arthritis Rheum 30:1205-1213.	
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	47	HERZ and GERARD (1993) Proc. Natl. Acad. Sci. USA 90:2812-2816.	
	48	HUBER et al. (1991) Proc. Natl. Acad. Sci. USA 88:8039-8043.	

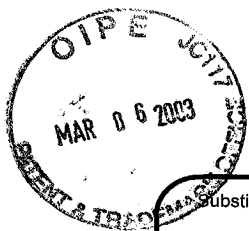
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Examiner Name	Unknown
Attorney Docket Number	UBC-0003

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/	49	HUTCHINSON et al. (1999) <i>Transplant Proc.</i> , 31(1-2): 734-736.	
/	50	HWU et al. (1993) <i>J. Immunol.</i> 150:4104-4115.	
/	51	JACOB CO. et al. (1993) <i>Immunogenetics</i> 38:251-257.	
/	52	JOHN S. et al. (1998) <i>Ann. Rheum. Dis.</i> 57:361-365.	
/	53	JOHN S. et al. (1998) <i>Cytokine</i> 10(6):466-470.	
/	54	JOHN S. et al. (1997) <i>Am. J. Hum. Gen.</i> 61(4)suppl. abstract 2341.	
/	55	KAY et al. (1992) <i>Human Gene Therapy</i> 3:641-647.	
/	56	KHANI-HANJANI et al. (1998) Abstract 293, Poster Session B, American College of Rheumatology 62nd National Meeting.	
/	57	KHANI-HANJANI et al. (2000) <i>Lancet</i> 356:820-825.	
/	58	LANG B. et al. (1990) <i>Zeitschrift fur Rheumatologie</i> 49(4):197-207. (abstract only - German article)	
/	59	LEMARCHAND et al. (1992) <i>Proc. Natl. Acad. Sci. USA</i> 89:6482-6486.	
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/	61	McLAUGHLIN et al. (1989) <i>J. Virol.</i> 62:1963-1973.	
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/	63	MOLKENTIN J. et al. (1993) <i>Annals Rheum. Dis.</i> 52:610-612.	

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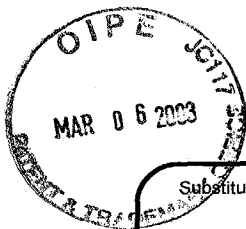
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Sheet 5 of 6

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	64	MUZYCZKA et al. Curr. Topics in Micro. and Immunol. (1992) 158:97-129.	
	65	NEPOM et al. (1996) <i>J.Rheumatol.</i> 23 (suppl 44): 5-9.	
	66	QUANTIN et al. (1992) Proc. Natl. Acad. Sci. USA 89:2581-2584.	
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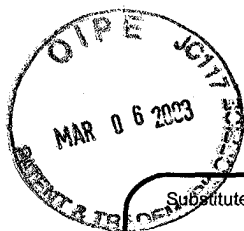
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	79	WEYAND and GORONZY (1997) J. Mol. Med. 75:772-785.	
	80	WEYAND and GORONZY (1995) <i>Curr. Op. Rheumatol.</i> 7: 206-213.	
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	88	ZANELLI <i>et al.</i> (1998) Immunogenetics 48:394-401.	
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	90	ZANELLI <i>et al.</i> (1997) J. Immunol 158:3545-3551.	

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